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    ~~ will find the beginning of each group of results
    ^   will find the tagged items

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~~ Patent Literature: Inventor search

File 347:JAPIO Dec 1976-2007/Dec(Updated 080328)
        (c) 2008 JPO & JAPIO
File 348:EUROPEAN PATENTS 1978-2007/ 200822
        (c) 2008 European Patent Office
File 349:PCT FULLTEXT 1979-2008/UB=20080529|UT=20080522
        (c) 2008 WIPO/Thomson
File 350:Derwent WPIX 1963-2008/UD=200834
        (c) 2008 The Thomson Corporation

Set	Items	Description
S1	25	AU=WAELBROECK H?
S2	23	AU=FEDERSPIEL F?
S3	476	AU=LOPEZ J?
S4	496	S1 OR S2 OR S3
S5	12	S4 AND ((SECURITIES OR EQUITIES OR STOCKS)(2N)(TRADE OR TRADES OR TRADING OR TRANSACTION OR TRANSACTIONS OR TRANSACTING OR PURCHASE OR PURCHASES OR PURCHASING OR SALE OR BUY OR BUYING OR SELL OR SELLING))
S6	12	S5 AND IC=(G06F OR G06Q)

 6/3/1   (Item 1 from file: 349)
DIALOG(R)File 349:PCT FULLTEXT
(c) 2008 WIPO/Thomson. All rts. reserv.

01581831   **Image available**
SYSTEMS AND METHODS FOR PROVIDING ANONYMOUS REQUESTS FOR QUOTES FOR
    FINANCIAL INSTRUMENTS
SYSTEMES ET PROCEDES DE DEMANDES ANONYMES DE COTES POUR INSTRUMENTS
    FINANCIERS
Patent Applicant/Assignee:
  PIPELINE FINANCIAL GROUP INC, 60 East 42nd Street, Suite 642, New York,
    NJ 10165, US, US (Residence), US (Nationality), (For all designated
    states except: US)
Patent Applicant/Inventor:
  WAELBROECK Henri , 38A Claremont Rd., Scarsdale, NJ 10583, US, US
    (Residence), BE (Nationality), (Designated only for: US)
  GAMSE Brent, 925 Allamanda Drive, Delray Beach, FL, US, US (Residence),
    US (Nationality), (Designated only for: US)
  FEDERSPIEL Fred , 12 Gerlach Place, Larchmont, NY 10538, US, US
    (Residence), US (Nationality), (Designated only for: US)
Legal Representative:
  UNDERWOOD Steven D et al (agent), MORGAN LEWIS, 1111 Pennsylvania Ave.,
    NW, Washington, DC 20004, US
Patent and Priority Information (Country, Number, Date):
  Patent: WO 2007127041 A2-A3 20071108 (WO 07127041)
  Application: WO 2007US8745 20070404 (PCT/WO US2007008745)
  Priority Application: US 2006409534 20060421
Designated States:
(All protection types applied unless otherwise stated - for applications
2004+)
  AE AG AL AM AT AU AZ BA BB BG BH BR BW BY BZ CA CH CN CO CR CU CZ DE DK
  DM DZ EC EE EG ES FI GB GD GE GH GM GT HN HR HU ID IL IN IS JP KE KG KM
  KN KP KR KZ LA LC LK LR LS LT LU LY MA MD ME MG MK MN MW MX MY MZ NA NG
  NI NO NZ OM PG PH PL PT RO RS RU SC SD SE SG SK SL SM SV SY TJ TM TN TR
  TT TZ UA UG US UZ VC VN ZA ZM ZW

(EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HU IE IS IT LT LU LV MC MT
NL PL PT RO SE SI SK TR
(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG
(AP) BW GH GM KE LS MW MZ NA SD SL SZ TZ UG ZM ZW
(EA) AM AZ BY KG KZ MD RU TJ TM
Publication Language: English
Filing Language: English
Fulltext Word Count: 7428

 6/3/2   (Item 2 from file: 349)
DIALOG(R)File 349:PCT FULLTEXT
(c) 2008 WIPO/Thomson. All rts. reserv.

01580082   **Image available**
RICH GRAPHICAL CONTROL INTERFACE FOR ALGORITHMIC TRADING ENGINE
INTERFACE DE COMMANDE GRAPHIQUE RICHE POUR MOTEUR D'ECHANGE ALGORITHMIQUE
Patent Applicant/Assignee:
  PIPELINE FINANCIAL GROUP, 60 East 42nd Street, Suite 624, New York, New
    York 10165, US, US (Residence), US (Nationality), (For all designated
    states except: US)
Patent Applicant/Inventor:
  WAELBROECK Henri , 38A Claremont Road, Scarsdale, New York 10583, US, US
    (Residence), US (Nationality), (Designated only for: US)
  GAMSE Brent, 925 Allamanda Drive, Delray Beach, Florida 33483, US, US
    (Residence), US (Nationality), (Designated only for: US)
  DEMPSEY Ian, 245 E. 44th Street, 23B, New York, New York 10017, US, US
    (Residence), US (Nationality), (Designated only for: US)
  SHAPIRO Andrew, 129 Pioneer Street, Brooklyn, New York 11231, US, US
    (Residence), US (Nationality), (Designated only for: US)
  BURMEISTER Abe, 55 Washington Street, #659, Brooklyn, New York 11201, US,
    US (Residence), US (Nationality), (Designated only for: US)
Legal Representative:
  GREENBAUM Michael C et al (agent), Blank Rome LLP, 600 New Hampshire
    Avenue, NW, Washington, District of Columbia 20037, US
Patent and Priority Information (Country, Number, Date):
  Patent: WO 2007127857 A2 20071108 (WO 07127857)
  Application: WO 2007US67528 20070426 (PCT/WO US2007067528)
  Priority Application: US 2006795646 20060428; US 2007783251 20070406; US
    2007783254 20070406; US 2007783250 20070406; US 2007783253 20070406; US
    2007783252 20070406
Designated States:
(All protection types applied unless otherwise stated - for applications
2004+)
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  DM DZ EC EE EG ES FI GB GD GE GH GM GT HN HR HU ID IL IN IS JP KE KG KM
  KN KP KR KZ LA LC LK LR LS LT LU LY MA MD MG MK MN MW MX MY MZ NA NG NI
  NO NZ OM PG PH PL PT RO RS RU SC SD SE SG SK SL SM SV SY TJ TM TN TR TT
  TZ UA UG US UZ VC VN ZA ZM ZW
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  NL PL PT RO SE SI SK TR
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  (AP) BW GH GM KE LS MW MZ NA SD SL SZ TZ UG ZM ZW
  (EA) AM AZ BY KG KZ MD RU TJ TM
Publication Language: English
Filing Language: English
Fulltext Word Count: 26432

 6/3/3   (Item 3 from file: 349)
DIALOG(R)File 349:PCT FULLTEXT
(c) 2008 WIPO/Thomson. All rts. reserv.

01281817
BLOCK TRADING SYSTEM AND METHOD PROVIDING PRICE IMPROVEMENT TO AGGRESSIVE
    ORDERS
SYSTEME D'ECHANGE DE TITRES ET PROCEDE DE FOURNITURE DE COURS AMELIORE POUR
    DES ORDRES AGRESSIFS
Patent Applicant/Assignee:

PIPELINE FINANCIAL GROUP INC, 60 E. 42nd Street, Suite 624, New York, NY
    10165, US, US (Residence), US (Nationality), (For all designated states
    except: US)
Patent Applicant/Inventor:
    WAELBROECK Henri , 38A Claremonet Road, Scarsdale, NY 10583, US, US
    (Residence), BE (Nationality),
    FEDERSPIEL Fred J , 12 Gerlach Place, Larchmont, NY 10538, US, US
    (Residence), US (Nationality),
    LOPEZ John E , 25 Burgundy Lane, Nesconset, NY 11767, US, US (Residence)
    , US (Nationality),
Legal Representative:
    UNDERWOOD Steven D et al (agent), Morgan Lewis & Bockius LLP, 1111
    Pennsylvania Avenue, NW, Washington, DC 20004, US
Patent and Priority Information (Country, Number, Date):
    Patent: WO 200586785 A2-A3 20050922 (WO 0586785)
    Application: WO 2005US7463 20050309 (PCT/WO US2005007463)
    Priority Application: US 2004799205 20040311
Designated States:
(All protection types applied unless otherwise stated - for applications
2004+)
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    DZ EC EE EG ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC
    LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NA NI NO NZ OM PG PH PL PT RO
    RU SC SD SE SG SK SL SM SY TJ TM TN TR TT TZ UA UG US UZ VC VN YU ZA ZM
    ZW
    (EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HU IE IS IT LT LU MC NL PL
    PT RO SE SI SK TR
    (OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG
    (AP) BW GH GM KE LS MW MZ NA SD SL SZ TZ UG ZM ZW
    (EA) AM AZ BY KG KZ MD RU TJ TM
Publication Language: English
Filing Language: English
Fulltext Word Count: 24108

∧ 6/3/4   (Item 4 from file: 349)
DIALOG(R)File 349:PCT FULLTEXT
(c) 2008 WIPO/Thomson. All rts. reserv.

01197352   **Image available**
CONFIDENTIAL BLOCK TRADING SYSTEM AND METHOD
SYSTEME ET PROCEDE DE VENTE DE TITRES CONFIDENTIELLE
Patent Applicant/Assignee:
    E-XCHANGE ADVANTAGE INC, 51 East 42nd Street, Suite 602, New York, NY
    10017, US, US (Residence), US (Nationality), (For all designated states
    except: US)
Patent Applicant/Inventor:
    WAELBROECK Henri , 38A Claremont Road, Scarsdale, NY 10583, US, US
    (Residence), BE (Nationality), (Designated only for: US)
    FEDERSPIEL Fred J , 12 Gerlach Place, Larchmont, NY 10583, US, US
    (Residence), US (Nationality), (Designated only for: US)
    LOPEZ John E , 25 Burgundy Lane, Nesconset, NY 11767, US, US (Residence)
    , US (Nationality), (Designated only for: US)
Legal Representative:
    UNDERWOOD Steven D et al (agent), Morgan, Lewis & Bockius LLP, 1111
    Pennsylvania Avenue, NW, Washington, DC 20004, US
Patent and Priority Information (Country, Number, Date):
    Patent: WO 200503894 A2-A3 20050113 (WO 0503894)
    Application: WO 2004US19706 20040622 (PCT/WO US2004019706)
    Priority Application: US 2003603100 20030624
Designated States:
(All protection types applied unless otherwise stated - for applications
2004+)
    AE AG AL AM AT AU AZ BA BB BG BR BW BY BZ CA CH CN CO CR CU CZ DE DK DM
    DZ EC EE EG ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC
    LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NA NI NO NZ OM PG PH PL PT RO
    RU SC SD SE SG SK SL SY TJ TM TN TR TT TZ UA UG US UZ VC VN YU ZA ZM ZW
    (EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HU IE IT LU MC NL PL PT RO
    SE SI SK TR

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(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG
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(EA) AM AZ BY KG KZ MD RU TJ TM
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Publication Language: English
Filing Language: English
Fulltext Word Count: 15055

 6/3/5   (Item 5 from file: 349)
DIALOG(R)File 349:PCT FULLTEXT
(c) 2008 WIPO/Thomson. All rts. reserv.

01018909   **Image available**
METHOD AND SYSTEM FOR MANAGING DISTRIBUTED TRADING DATA
PROCEDE ET SYSTEME DE GESTION DE DONNEES COMMERCIALES DISTRIBUEES
Patent Applicant/Assignee:
  E-XCHANGE ADVANTAGE INC, 51 East 42nd Street, Suite 602, New York, NY
    10017, US, US (Residence), US (Nationality), (For all designated states
    except: US)
Inventor(s):
  FEDERSPIEL Fred J , 12 Gerloch Place, Larchmont, NY 10538, US,
  WAELBROECK Henri , 38A Claremont, Scarsdale, NY 10583, US,
  LOPEZ John E , 25 Burgandy Lane, Nesconset, NY 11767, US,
Legal Representative:
  MORRIS Francis E (et al) (agent), Pennie & Edmonds LLP, 1155 Avenue of
    the Americas, New York, NY 10538, US,
Patent and Priority Information (Country, Number, Date):
  Patent: WO 200348905 A2-A3 20030612 (WO 0348905)
  Application: WO 2002US38945 20021205 (PCT/WO US02038945)
  Priority Application: US 2001336775 20011205; US 2002400467 20020801
Designated States:
(Protection type is "patent" unless otherwise stated - for applications
prior to 2004)
  JP SG
  (EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR IE IT LU MC NL PT SE SI SK
  TR
Publication Language: English
Filing Language: English
Fulltext Word Count: 47409

 6/3/6   (Item 6 from file: 349)
DIALOG(R)File 349:PCT FULLTEXT
(c) 2008 WIPO/Thomson. All rts. reserv.

00859513   **Image available**
A METHOD FOR DIRECTING AND EXECUTING CERTIFIED TRADING INTERESTS
PROCEDE DE COMMANDE ET D'EXECUTION D'INTERETS CERTIFIES SUR OPERATIONS
Patent Applicant/Assignee:
  E-XCHANGE ADVANTAGE INC, Suite 602, 51 East 42nd Street, New York, NY
    10017, US, US (Residence), US (Nationality)
Inventor(s):
  WAELBROECK Henri , 38A Claremont Rd., Scarsdale, NY 10583, US,
  FEDERSPIEL Fred J , 12 Gerlach Place, Larchmont, NY 10538, US,
  ANGEL James J, 936 N. Livingston St., Arlington, VA 22205, US,
Legal Representative:
  MORRIS Francis E (et al) (agent), Pennie & Edmonds LLP, 1155 Avenue of
    the Americas, New York, NY 10036, US,
Patent and Priority Information (Country, Number, Date):
  Patent: WO 200193169 A1 20011206 (WO 0193169)
  Application: WO 2001US17519 20010531 (PCT/WO US0117519)
  Priority Application: US 2000585049 20000601; US 2000750768 20001229
Designated States:
(Protection type is "patent" unless otherwise stated - for applications
prior to 2004)
  AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU CZ DE DK DM DZ
  EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS
  LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL TJ
  TM TR TT TZ UA UG UZ VN YU ZA ZW

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(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR
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(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW
(EA) AM AZ BY KG KZ MD RU TJ TM
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Publication Language: English
Filing Language: English
Fulltext Word Count: 32002

6/3/7   (Item 7 from file: 349)
DIALOG(R)File 349:PCT FULLTEXT
(c) 2008 WIPO/Thomson. All rts. reserv.

00842045   **Image available**
A SYSTEM AND METHOD FOR DISPLAYING MARKET INFORMATION
SYSTEME ET PROCEDE D'AFFICHAGE D'INFORMATIONS DE MARCHE
Patent Applicant/Assignee:
   E-XCHANGE ADVANTAGE INC, Suite 602, 51 East 42nd Street, New York, NY
      10017, US, US (Residence), US (Nationality)
Inventor(s):
   FEDERSPIEL Fred J , 12 Gerloch Place, Larchmont, NY 10538, US,
   WAELBROECK Henri , 38A Claremont, Scarsdale, NY 10583, US,
Legal Representative:
   MORRIS Francis E (et al) (agent), Pennie & Edmonds LLP, 1155 Avenue of
      the Americas, New York, NY 10036, US,
Patent and Priority Information (Country, Number, Date):
   Patent: WO 200175733 A1 20011011 (WO 0175733)
   Application: WO 2001US10325 20010329 (PCT/WO US0110325)
   Priority Application: US 2000539120 20000330
Designated States:
(Protection type is "patent" unless otherwise stated - for applications
prior to 2004)
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   TM TR TT TZ UA UG UZ VN YU ZA ZW
   (EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR
   (OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG
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Publication Language: English
Filing Language: English
Fulltext Word Count: 10422

6/3/8   (Item 1 from file: 350)
DIALOG(R)File 350:Derwent WPIX
(c) 2008 The Thomson Corporation. All rts. reserv.

0014803751 - Drawing available
WPI ACC NO: 2005-151437/200516
XRPX Acc No: N2005-127761
Electronic trading method of e.g. stock, involves allowing initiator to
request final price of item when benchmark spot price and spot yield are in
accord so that initiators and respondents are notified about trading state
of items
Patent Assignee: GOLDENBERG B (GOLD-I); GORDON-BRANDER A (GORD-I); LOPEZ
   J (LOPE-I); TUOHY C (TUOH-I)
Inventor: GOLDENBERG B; GORDON-BRANDER A; **LOPEZ J** ; TUOHY C
Patent Family (1 patents, 1 countries)

Patent Number	Kind	Date	Application Number	Kind	Date	Update	
US 20050027640	A1	20050203	US 2003492005	P	20030731	200516	B
			US 2003492136	P	20030731		
			US 2003672379	A	20030926		

Priority Applications (no., kind, date): US 2003492005 P 20030731; US
   2003492136 P 20030731; US 2003672379 A 20030926

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing Notes
US 20050027640	A1	EN	33	16	Related to Provisional US 2003492005
					Related to Provisional US 2003492136

∧ 6/3/9   (Item 2 from file: 350)
DIALOG(R)File 350:Derwent WPIX
(c) 2008 The Thomson Corporation. All rts. reserv.

0014601158 - Drawing available
WPI ACC NO: 2004-783124/200477
Related WPI Acc No: 2002-090121; 2002-499387; 2004-268911; 2007-218399
XRPX Acc No: N2004-617137
Electronic securities trading method for market participant e.g.
institution, involves executing trade with security orders at price whose
difference from reference price is minimized, where trade complies with
price limits
Patent Assignee: E-XCHANGE ADVANTAGE CORP (EXCH-N); FEDERSPIEL F J
   (FEDE-I); LOPEZ J E (LOPE-I); PIPELINE FINANCIAL GROUP INC (PIPE-N);
   WAELBROECK H (WAEL-I)
Inventor: **FEDERSPIEL F ; FEDERSPIEL F J ; LOPEZ J ; LOPEZ J E ;**
   WAELBROECK H
Patent Family (6 patents, 108 countries)

Patent Number	Kind	Date	Application Number	Kind	Date	Update	
US 20040210511	A1	20041021	US 2000585049	A	20000601	200477	B
			US 2000750768	A	20001229		
			US 2001870845	A	20010531		
			US 2003603100	A	20030624		
			US 2004799205	A	20040311		
WO 2005086785	A2	20050922	WO 2005US7463	A	20050309	200563	E
AU 2005220858	A1	20050922	AU 2005220858	A	20050309	200713	E
EP 1763840	A2	20070321	EP 2005729202	A	20050309	200723	E
			WO 2005US7463	A	20050309		
IN 200603776	P4	20070622	WO 2005US7463	A	20050309	200767	E
			IN 2006CN3776	A	20061011		
JP 2007528559	W	20071011	WO 2005US7463	A	20050309	200768	E
			JP 2007502909	A	20050309		

Priority Applications (no., kind, date): US 2000585049 A 20000601; US
   2000750768 A 20001229; US 2001870845 A 20010531; US 2003603100 A
   20030624; US 2004799205 A 20040311

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing Notes
US 20040210511	A1	EN	38	10	C-I-P of application US 2000585049
					C-I-P of application US 2000750768
					C-I-P of application US 2001870845
					C-I-P of application US 2003603100
WO 2005086785	A2	EN			

National Designated States,Original: AE AG AL AM AT AU AZ BA BB BG BR BW
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   HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW
   MX MZ NA NI NO NZ OM PG PH PL PT RO RU SC SD SE SG SK SL SM SY TJ TM TN
   TR TT TZ UA UG US UZ VC VN YU ZA ZM ZW
Regional Designated States,Original: AT BE BG BW CH CY CZ DE DK EA EE ES
   FI FR GB GH GM GR HU IE IS IT KE LS LT LU MC MW MZ NA NL OA PL PT RO SD
   SE SI SK SL SZ TR TZ UG ZM ZW

AU 2005220858	A1	EN	Based on OPI patent WO 2005086785
EP 1763840	A2	EN	PCT Application WO 2005US7463
			Based on OPI patent WO 2005086785

Regional Designated States,Original: AL AT BA BE BG CH CY CZ DE DK EE ES
   FI FR GB GR HR HU IE IS IT LI LT LU LV MC MK NL PL PT RO SE SI SK TR YU

IN 200603776	P4	EN		PCT Application WO 2005US7463
JP 2007528559	W	JA	52	PCT Application WO 2005US7463
				Based on OPI patent WO 2005086785

DIALOG(R)File 350:Derwent WPIX
(c) 2008 The Thomson Corporation. All rts. reserv.

0014085447 - Drawing available
WPI ACC NO: 2004-268911/200425
Related WPI Acc No: 2002-090121; 2002-499387; 2004-783124; 2007-218399
XRPX Acc No: N2004-212715
 Securities   trading method through Internet, involves notifying presence
of reasonably priced order to another user for receiving order, based on
analysis result of received order, and performing trade execution based on
orders
Patent Assignee: E-XCHANGE ADVANTAGE INC (EXCH-N); FEDERSPIEL F J
   (FEDE-I); LOPEZ J E (LOPE-I); WAELBROECK H (WAEL-I); XCHANGE ADVANTAGE
   INC E (XCHA-N); EXCHANGE ADVANTAGE INC (EXCH-N)
Inventor: FEDERSPIEL F ; FEDERSPIEL F J ; LOPEZ J ; LOPEZ J E ;
   WAELBROECK H
Patent Family (5 patents, 107 countries)

Patent Number	Kind	Date	Application Number	Kind	Date	Update	
US 20040059666	A1	20040325	US 2000585049	A	20000601	200425	B
			US 2000750768	A	20001229		
			US 2001870845	A	20010531		
			US 2003603100	A	20030624		
WO 2005003894	A2	20050113	WO 2004US19706	A	20040622	200505	E
EP 1636678	A2	20060322	EP 2004755710	A	20040622	200621	E
			WO 2004US19706	A	20040622		
CN 1853193	A	20061025	CN 200480017566	A	20040622	200715	E
IN 200503515	P4	20070511	WO 2004US19706	A	20040622	200752	E
			IN 2005CN3515	A	20051223		

Priority Applications (no., kind, date): US 2000585049 A 20000601; US
   2000750768 A 20001229; US 2001870845 A 20010531; US 2003603100 A
   20030624

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing Notes	
US 20040059666	A1	EN	38	10	C-I-P of application	US 2000585049
					C-I-P of application	US 2000750768
					C-I-P of application	US 2001870845
WO 2005003894	A2	EN				

National Designated States,Original: AE AG AL AM AT AU AZ BA BB BG BR BW
   BY BZ CA CH CN CO CR CU CZ DE DK DM DZ EC EE EG ES FI GB GD GE GH GM HR
   HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW
   MX MZ NA NI NO NZ OM PG PH PL PT RO RU SC SD SE SG SK SL SY TJ TM TN TR
   TT TZ UA UG US UZ VC VN YU ZA ZM ZW
Regional Designated States,Original: AT BE BG BW CH CY CZ DE DK EA EE ES
   FI FR GB GH GM GR HU IE IT KE LS LU MC MW MZ NA NL OA PL PT RO SD SE SI
   SK SL SZ TR TZ UG ZM ZW
EP 1636678   A2 EN   PCT Application WO 2004US19706
                                Based on OPI patent   WO 2005003894
Regional Designated States,Original: AL AT BE BG CH CY CZ DE DK EE ES FI
   FR GB GR HR HU IE IT LI LT LU LV MC MK NL PL PT RO SE SI SK TR
IN 200503515   P4 EN   PCT Application WO 2004US19706

6/3/11   (Item 4 from file: 350)
DIALOG(R)File 350:Derwent WPIX
(c) 2008 The Thomson Corporation. All rts. reserv.

0012650000 - Drawing available
WPI ACC NO: 2002-499387/200253
Related WPI Acc No: 2002-090121; 2004-268911; 2004-783124; 2007-218399
XRPX Acc No: N2002-395380
Securities marketing information management method using Internet, involves
obtaining dissemination list of securities marketing participants based on
order-related and trade-related query received from the participants
Patent Assignee: ANGEL J J (ANGE-I); FEDERSPIEL F J (FEDE-I); WAELBROECK
   H (WAEL-I)

Inventor: ANGEL J J; FEDERSPIEL F J ; WAELBROECK H
Patent Family (1 patents, 1 countries)
Patent   Application
Number   Kind Date   Number   Kind   Date   Update
US 20020052827 A1   20020502   US 2000585049   A   20000601 200253   B
                                 US 2000750768   A   20001229
                                 US 2001870845   A   20010531

Priority Applications (no., kind, date): US 2000585049 A 20000601; US
   2000750768 A 20001229; US 2001870845 A 20010531

Patent Details
Number   Kind Lan   Pg Dwg Filing Notes
US 20020052827 A1   EN   48   20 C-I-P of application US 2000585049
                                     C-I-P of application US 2000750768

  6/3/12   (Item 5 from file: 350)
DIALOG(R)File 350:Derwent WPIX
(c) 2008 The Thomson Corporation. All rts. reserv.

0011031113 - Drawing available
WPI ACC NO: 2001-657060/200175
XRPX Acc No: N2001-489774
**Electronic display method for securities trading market data involves
generating scales for shared vertical price axis and horizontal time and
trade size axis**
Patent Assignee: E-XCHANGE ADVANTAGE INC (EXCH-N); PIPELINE FINANCIAL
   GROUP INC (PIPE-N)
Inventor: FEDERSPIEL F J ; WAELBROECK H
Patent Family (3 patents, 93 countries)
Patent   Application
Number   Kind Date   Number   Kind   Date   Update
WO 2001075733   A1   20011011   WO 2001US10325   A   20010329 200175   B
AU 200151152   A   20011015   AU 200151152   A   20010329 200209   E
US 7308428   B1   20071211   US 2000539120   A   20000330 200781   E

Priority Applications (no., kind, date): US 2000539120 A 20000330

Patent Details
Number   Kind Lan   Pg Dwg Filing Notes
WO 2001075733   A1   EN   42   14
National Designated States,Original: AE AG AL AM AT AU AZ BA BB BG BR BY
   BZ CA CH CN CO CR CU CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL
   IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO
   NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW
Regional Designated States,Original: AT BE CH CY DE DK EA ES FI FR GB GH
   GM GR IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TR TZ UG ZW
AU 200151152   A   EN   Based on OPI patent   WO 2001075733

~~ Non-Patent Literature: Inventor search

File   2:INSPEC 1898-2008/May W1
          (c) 2008 Institution of Electrical Engineers
File   9:Business & Industry(R) Jul/1994-2008/May 28
          (c) 2008 The Gale Group
File   15:ABI/Inform(R) 1971-2008/Jun 02
          (c) 2008 ProQuest Info&Learning
File 610:Business Wire 1999-2008/Jun 03
          (c) 2008 Business Wire.
File 613:PR Newswire 1999-2008/Jun 03
          (c) 2008 PR Newswire Association Inc
File 624:McGraw-Hill Publications 1985-2008/Jun 03
          (c) 2008 McGraw-Hill Co. Inc

File 634:San Jose Mercury Jun 1985-2008/May 29
          (c) 2008 San Jose Mercury News
File 810:Business Wire 1986-1999/Feb 28

Set   Items   Description
S1   35   AU=(WAELBROECK, H? OR WAELBROECK H? OR WAELBROECK(2N)H?) OR
                 BY=WAELBROECK(2N)H?
S2   22   AU=(FEDERSPIEL, F? OR FEDERSPIEL F? OR FEDERSPIEL(2N)F?) OR
                 BY=FEDERSPIEL(2N)F?
S3   6015   AU=(LOPEZ, J? OR LOPEZ J? OR LOPEZ(2N)J?) OR BY=LOPEZ(2N)J?
S4   6072   S1 OR S2 OR S3
S5   1   S4 AND ((SECURITIES OR EQUITIES OR STOCKS)()(TRADE OR TRAD-
                 ES OR TRADING OR TRANSACTION OR TRANSACTIONS OR TRANSACTING OR
                 PURCHASE OR PURCHASES OR PURCHASING OR SALE OR BUY OR BUYING
                 OR SELL OR SELLING))
S6   0   S5 NOT PY>2003

~~ Non-Patent Literature: Full Text
   Dialog files:
9,15,16,20,148,160,267,268,275,610,613,621,624,625,626,634,636,810,813,996

```
          (c) 2008 Dialog
File 148:Gale Group Trade & Industry DB 1976-2008/May 14
          (c)2008 The Gale Group
File 160:Gale Group PROMT(R) 1972-1989
          (c) 1999 The Gale Group
File 267:Finance & Banking Newsletters 2008/Jun 02
          (c) 2008 Dialog
File 268:Banking Info Source 1981-2008/May W4
          (c) 2008 ProQuest Info&Learning
File 275:Gale Group Computer DB(TM) 1983-2008/May 27
          (c) 2008 The Gale Group
File 610:Business Wire 1999-2008/Jun 03
          (c) 2008 Business Wire.
File 613:PR Newswire 1999-2008/Jun 03
          (c) 2008 PR Newswire Association Inc
File 621:Gale Group New Prod.Annou.(R) 1985-2008/May 14
          (c) 2008 The Gale Group
File 624:McGraw-Hill Publications 1985-2008/Jun 03
          (c) 2008 McGraw-Hill Co. Inc
File 625:American Banker Publications 1981-2008/May 30
          (c) 2008 American Banker
File 626:Bond Buyer Full Text 1981-2008/May 29
          (c) 2008 Bond Buyer
File 634:San Jose Mercury  Jun 1985-2008/May 29
          (c) 2008 San Jose Mercury News
File 636:Gale Group Newsletter DB(TM) 1987-2008/May 28
          (c) 2008 The Gale Group
File 810:Business Wire 1986-1999/Feb 28
          (c) 1999 Business Wire
File 813:PR Newswire 1987-1999/Apr 30
          (c) 1999 PR Newswire Association Inc
File 996:NewsRoom 2000-2003
          (c) 2008 Dialog
```

```
Set      Items    Description
S1     1688618    (SECURITIES OR EQUITIES OR STOCKS)(2N)(TRADE OR TRADES OR -
                  TRADING OR TRANSACTION OR TRANSACTIONS OR TRANSACTING OR PURC-
                  HASE OR PURCHASES OR PURCHASING OR SALE OR BUY OR BUYING OR S-
                  ELL OR SELLING)
S2     1237571    NOTIFICATION OR NOTIFI?? OR NOTIFY??? OR TRANSMIT? ? OR TR-
                  ANSMITTING OR REPORT??? OR INFORM??? OR COMMUNICAT???? OR MES-
                  SAG??? OR ALERT??? OR COORDINAT??? OR CO()ORDINAT??? OR REFER?
                  ? OR REFERR???
S3      817117    USER OR USERS OR BROKER OR BROKERS OR TRADER OR TRADERS OR
                  MARKET()(PARTICIPANT OR PARTICIPANTS) OR TRADING()ENTITIES OR
                  COUNTER()PART???
S4        1573    (REASONABL? ? OR RATIONAL?? OR RANGE OR USUAL?? OR CUSTOMA-
                  R??? OR FAIR)(4N)(FEE OR FEES OR PRICE? ? OR PRICING OR CHARG-
                  ??? OR COST??? OR RATE OR RATES)(8N)(ORDER OR ORDERS OR REQUE-
                  ST? ? OR REQUISITION? ?)
S5       69895    S2(12N)S3
S6       19237    S1(S)S5
S7          21    S4(2S)S6
S8          14    S7 NOT PY>2003
S9          13    RD  (unique items)
```

```
 9/3,K/1      (Item 1 from file: 20)
DIALOG(R)File  20:Dialog Global Reporter
(c) 2008 Dialog. All rts. reserv.

16406539  (USE FORMAT 7 OR 9 FOR FULLTEXT)
Regional Bourses Closer to Integration
ZIMBABWE INDEPENDENT
April 27, 2001
JOURNAL CODE: FZMI   LANGUAGE: English   RECORD TYPE:  FULLTEXT
WORD COUNT: 705

  (USE FORMAT 7 OR 9 FOR FULLTEXT)
```

...	equities, bonds, derivatives and other financial instruments; and
to enforce legislation and rules and protect **market** **participants** and
investors.
	The Johannesburg Stock Exchange (JSE) has adopted the King's **Report** ,
which is now the guide to good corporate governance by directors of listed
firms. The...

∧ 9/3,K/2	(Item 1 from file: 267)
DIALOG(R)File 267:Finance & Banking Newsletters
(c) 2008 Dialog. All rts. reserv.

04594017
 SEC's Bergmann: Matching Services Essential for STP
John Sandman
Security Industry News
October 14,2002	DOCUMENT TYPE: NEWSLETTER
PUBLISHER: SECURITIES DATA PUBLISHING
LANGUAGE: ENGLISH	WORD COUNT: 2104	RECORD TYPE: FULLTEXT

TEXT:
...the '34 Act with respect to the national system for the clearance and
settlement of **securities** **transactions** .
  The Commission has granted Omgeo, a joint venture between Depository
Trust & Clearing Corp. and Thomson...Omgeo must link to other matching
services so that no matter what matching service a **broker** -dealer and its
institutional client use, they will be able to **communicate** trade and
allocation data. The order sets out a procedure for Omgeo to negotiate
links...

...links. Omgeo must support industry communication protocols, message
format standards, and message file protocols.
  The **fees** for using the linkages must be **fair** and **reasonable** . The
order provides for items to be considered in determining what's **fair** and
 reasonable and sets a 60-day time limit for Omgeo to negotiate the fees
with another...

 9/3,K/3	(Item 2 from file: 267)
DIALOG(R)File 267:Finance & Banking Newsletters
(c) 2008 Dialog. All rts. reserv.

04551115
 Levitt Sees Stronger Bans on Recruiting Bonuses, Sales Contests But he
wants to ease restrictions on some advisory activities.
Jed Horowitz
On Wall Street
June 1,1999	DOCUMENT TYPE: NEWSLETTER
PUBLISHER: SECURITIES DATA PUBLISHING
LANGUAGE: ENGLISH	WORD COUNT: 636	RECORD TYPE: FULLTEXT

TEXT:
...regulators. Below are excerpts from his important talk on compensation
and sales.
  "Let me discuss **broker** compensation. As you all remember, the Tully
Report identified several practices that raised the potential for
conflicts of interest between registered representatives and...

...the SEC for approval.]
  Easing the Road to Advisory Fees
  Levitt also expressed concern that **brokers** are constricted by
"regulatory obstacles" from following the Tully **Report** 's recommendation
to give customers a choice between paying straight commissions and a mix of
...

...be subject to the Investment Advisers Act. That means they must obtain customers' consent before **selling** them **securities** out ...being sold house-owned shares in "illiquid securities" and from putting in "large, market-moving **orders** where it is very difficult to know whether the client paid a **fair** **price** ."
    He said the SEC's Division of Investment Management will develop amendments to the [Investment...

   9/3,K/4   (Item 1 from file: 996)
DIALOG(R)File 996:NewsRoom 2000-2003
(c) 2008 Dialog. All rts. reserv.

0742037062 16EE1465
424B3: TRIARC COMPANIES INC
EDGAR Online Forms
Wednesday, December 3, 2003
JOURNAL CODE: BDFB LANGUAGE: English RECORD TYPE: Fulltext
DOCUMENT TYPE: Newswire
WORD COUNT: 42,210

   9/3,K/5   (Item 2 from file: 996)
DIALOG(R)File 996:NewsRoom 2000-2003
(c) 2008 Dialog. All rts. reserv.

0735027878 16CYOV75
S-1/A: BUFFALO WILD WINGS INC
EDGAR Online Forms
Thursday, November 20, 2003
JOURNAL CODE: BDFB LANGUAGE: English RECORD TYPE: Fulltext
DOCUMENT TYPE: Newswire
WORD COUNT: 59,065

   9/3,K/6   (Item 3 from file: 996)
DIALOG(R)File 996:NewsRoom 2000-2003
(c) 2008 Dialog. All rts. reserv.

0724019897 16C80MFS
424B2: F5 NETWORKS INC
EDGAR Online Forms
Thursday, October 30, 2003
JOURNAL CODE: BDFB LANGUAGE: English RECORD TYPE: Fulltext
DOCUMENT TYPE: Newswire
WORD COUNT: 50,779

...securities commission has approved or disapproved of these **securities** or

determined if this prospectus is truthful or complete. Any representation to the

contrary is...or incorporate an Internet traffic management component into existing products in a manner that discourages **users** from purchasing our products. Potential customers may also choose to purchase additional or larger servers...the loss of our contract manufacturer may cause a delay in our ability to fulfill **orders** while we obtain a replacement manufacturer and may harm our business and results of operations...

   9/3,K/7   (Item 4 from file: 996)
DIALOG(R)File 996:NewsRoom 2000-2003
(c) 2008 Dialog. All rts. reserv.

0708541626 16A918NT
S-3: MILLS CORP
EDGAR Online Forms
Tuesday, September 30, 2003

JOURNAL CODE: BDFB LANGUAGE: English RECORD TYPE: Fulltext
DOCUMENT TYPE: Newswire
WORD COUNT: 60,320

...Ratio of Earnings to Combined Fixed **Charges** and Preferred Dividends...
factors.

The Series D preferred stock is a new issue of securities with no
established **trading** market. We intend to apply to list the Series D
preferred stock on the NYSE...

  9/3,K/8   (Item 5 from file: 996)
DIALOG(R)File 996:NewsRoom 2000-2003
(c) 2008 Dialog. All rts. reserv.

0701030020 169U0XA3
424B2: MGM MIRAGE
EDGAR Online Forms
Monday, September 15, 2003
JOURNAL CODE: BDFB LANGUAGE: English RECORD TYPE: Fulltext
DOCUMENT TYPE: Newswire
WORD COUNT: 43,811

...Prior to this offering, there was no public market for the notes. We
have been **informed** by the underwriters that they intend to make a **market**
 in the notes after we complete this offering. However, the underwriters
may cease their market...

  9/3,K/9   (Item 6 from file: 996)
DIALOG(R)File 996:NewsRoom 2000-2003
(c) 2008 Dialog. All rts. reserv.

0698027863 169N0V6Q
8-K: GREENPOINT MORT SEC INC MORT BACK PS THR CERTS SER 2003-1
EDGAR Forms
Tuesday, September 9, 2003
JOURNAL CODE: BDFA LANGUAGE: English RECORD TYPE: Fulltext
DOCUMENT TYPE: Newswire
WORD COUNT: 68,416

...certify that

1.

I have reviewed this annual **report** on Form 10-K, and all reports on Form
8-K containing distribution or servicing...

  9/3,K/10   (Item 7 from file: 996)
DIALOG(R)File 996:NewsRoom 2000-2003
(c) 2008 Dialog. All rts. reserv.

0681035737 168L12WS
S-4: SEQUA CORP /DE/
EDGAR Forms
Thursday, August 7, 2003
JOURNAL CODE: BDFA LANGUAGE: English RECORD TYPE: Fulltext
DOCUMENT TYPE: Newswire
WORD COUNT: 55,790

... **customary**
──

  9/3,K/11   (Item 8 from file: 996)
DIALOG(R)File 996:NewsRoom 2000-2003
(c) 2008 Dialog. All rts. reserv.

0505048892 15XL1HRV
Rules regulating The Florida Bar.
Florida Bar Journal, v76, n8, p731(100)
Sunday, September 1, 2002
JOURNAL CODE: AUTY LANGUAGE: English RECORD TYPE: Fulltext
DOCUMENT TYPE: Trade Journal ISSN: 0015-3915
WORD COUNT: 168,378

...and addresse s of all persons and entities that have been furnished
copies of the **order** .

(h) Forfeiture of **Fees** . An **order** of the Supreme Court of Florida or a
report of minor misconduct adjudicating a respondent...nly:

(A) investigative costs, including travel and out-of-pocket expense s;

(B) court reporters' **fees** ;

(C) copy **costs** ;

(D) telephone **charges** ;
(E) **fees** for translation services;

(F) witness expenses, including travel and out-of-pocket expenses;

(G) travel...not lead the lawyer to undertake matters that cannot
be handled competently and at a **reasonable** **fee** . See rules 4-1.1 and 4
-1.5. If the probity of a lawyer...

 9/3,K/12   (Item 9 from file: 996)
DIALOG(R)File 996:NewsRoom 2000-2003
(c) 2008 Dialog. All rts. reserv.

0182521149 159F0NNW
Is it really nuts to trade online?
Lowes, Robert
Medical Economics, v77, n24, p46
Monday, December 18, 2000
JOURNAL CODE: AJWB LANGUAGE: ENGLISH RECORD TYPE: Fulltext
DOCUMENT TYPE: Trade Journal ISSN: 0025-7206
WORD COUNT: 2,681

...buying on margin--check your e-mail constantly. If your account is
shrinking, your online **broker** will send a **message** **notifying** you that
it's planning to sell some of your assets to make up the...

 9/3,K/13   (Item 10 from file: 996)
DIALOG(R)File 996:NewsRoom 2000-2003
(c) 2008 Dialog. All rts. reserv.

0145012596 15720E9M
Binck Brokers: Online broker Binck launched today
M2 COMMUNICATIONS
Friday, October 6, 2000
JOURNAL CODE: ALPP LANGUAGE: ENGLISH RECORD TYPE: Fulltext
DOCUMENT TYPE: Newswire
WORD COUNT: 864

TEXT:
...investors direct access to the trading floor via Internet (www.binck.nl)
and telephone in **order** to **buy** and **sell** **securities** and derivatives
at extremely **reasonable** **rates** on the markets of Euronext Amsterdam, the
New York Stock Exchange and NASDAQ. Binck has...

~~ Non-Patent Literature: Non-Full Text

Dialog files: 2,35,65,99,139,256,474,475,583

Set	Items	Description
S1	22476	(SECURITIES OR EQUITIES OR STOCKS)(2N)(TRADE OR TRADES OR - TRADING OR TRANSACTION OR TRANSACTIONS OR TRANSACTING OR PURC- HASE OR PURCHASES OR PURCHASING OR SALE OR BUY OR BUYING OR S- ELL OR SELLING)
S2	3418	NOTIFICATION OR NOTIFI?? OR NOTIFY??? OR TRANSMIT? ? OR TR- ANSMITTING OR REPORT??? OR INFORM??? OR COMMUNICAT???? OR MES- SAG??? OR ALERT??? OR COORDINAT??? OR CO()ORDINAT??? OR REFER? ? OR REFERR???
S3	2786	USER OR USERS OR BROKER OR BROKERS OR TRADER OR TRADERS OR MARKET()(PARTICIPANT OR PARTICIPANTS) OR TRADING()ENTITIES OR COUNTER()PART???
S4	5	(REASONABL? ? OR RATIONAL?? OR RANGE OR USUAL?? OR CUSTOMA- R??? OR FAIR)(4N)(FEE OR FEES OR PRICE? ? OR PRICING OR CHARG- ??? OR COST??? OR RATE OR RATES)(8N)(ORDER OR ORDERS OR REQUE- ST? ? OR REQUISITION? ?)
S5	0	S1 AND (S2 OR S3) AND S4
S6	5	S1 AND S4
S7	5	S6 NOT PY>2003
S8	5	RD (unique items)

8/3,K/1   (Item 1 from file: 2)
DIALOG(R)File   2:INSPEC
(c) 2008 Institution of Electrical Engineers. All rts. reserv.

06489859   INSPEC Abstract Number: C9703-7120-060
 Title: An analysis of stops and profit objectives in trading systems
  Author(s): Atiya, A.
  Author Affiliation: Dept. of Comput. Eng., Cairo Univ., Giza, Egypt
  Conference Title: Neural Networks in Financial Engineering. Proceedings
of the Third International Conference on Neural Networks in the Capital
Markets   p.588-96
  Editor(s): Refenes, A.-P.N.; Abu-Mostafa, Y.; Moody, J.; Weigend, A.
  Publisher: World Scientific, Singapore
  Publication Date: 1996 Country of Publication: Singapore   xi+634 pp.
  ISBN: 981 02 2480 X   Material Identity Number: XX96-01674
  Conference Title: Proceedings of the 3rd International Conference on
Neural Networks in Financial Engineering
  Conference Sponsor: London Bus. School; California Inst. Technol
  Conference Date: 11-13 Oct. 1995   Conference Location: London, UK
  Language: English
  Subfile: C
  Copyright 1997, IEE

  ...Abstract: investor who buys an asset at a particular price, usually
sells the asset when the price drops below a certain level, called a
stop, in order to avoid further losses. Also, the investor usually
 sells the asset if the price appreciates beyond a certain level (profit

objective), in order to secure the achieved profit. This...
   ...Descriptors: **securities   trading** ;

 8/3,K/2   (Item 1 from file: 35)
DIALOG(R)File 35:Dissertation Abs Online
(c) 2008 ProQuest Info&Learning. All rts. reserv.

01960466 ORDER NO: AADAA-I0805453
Essays on index premia and demand curves for stocks
   Author: Petajisto, Antti
   Degree: Ph.D.
   Year: 2003
   Corporate Source/Institution: Massachusetts Institute of Technology (
          0753)
   Source: VOLUME 64/07-A OF DISSERTATION ABSTRACTS INTERNATIONAL.
          PAGE 2599.

      ...the index premium creates a recurring cost: as the index is
updated, they need to **buy   stocks** with the premium and **sell   stocks**
without the premium. Different index rules can produce different index
premia due to the different...

...market-cap rule, an exogenous random rule, and a deterministic rule. We
find that the **rational** anticipation of future index composition reflected
in **prices** today eliminates any first- **order** differences in index fund
performance across the three index rules. As the index investors become...

 8/3,K/3   (Item 2 from file: 35)
DIALOG(R)File 35:Dissertation Abs Online
(c) 2008 ProQuest Info&Learning. All rts. reserv.

765200 ORDER NO: AAD82-00157
ESSAYS IN SECURITY MARKET ARCHITECTURE
   Author: KALE, JIVENDRA KESHAV
   Degree: PH.D.
   Year: 1981
   Corporate Source/Institution: UNIVERSITY OF CALIFORNIA, BERKELEY (0028)
   Source: VOLUME 42/07-A OF DISSERTATION ABSTRACTS INTERNATIONAL.
          PAGE 3223. 109 PAGES

      ...context of the model, sets of limit orders are always superior to
market orders for **trading   securities** . The model is also used to
demonstrate that the market maker's aversion to risk...

...second essay we explore the possibility of implementing a
non-tatonnement single step mechanism for **trading   securities** . A
two-person two-asset pure exchange economy consisting of risk-averse
investors is modeled...

...feasible and that it converges to a competitive equilibrium as investors
increase the number of **orders** specified within a given **price   range** .
        In the third essay we study a particular type of security market
architecture, namely a...

 8/3,K/4   (Item 1 from file: 475)
DIALOG(R)File 475:Wall Street Journal Abs
(c) 2008 The New York Times. All rts. reserv.

01076909   NYT Sequence Number: 015563760623
(Rockwell Internatl shareholder Harry Lewis files derivative suit against
   Rockwell, charging it improperly granted alternative stock options to
   employees in '75, thus modifying terms of stock-option plan approved by
   shareholders in '73. Claims plan allowed purchase of Rockwell shares at
   'grossly inadequate prices'. Any damages won in a derivative suit are
   paid to co rather than to shareholder. Suit requests 403,000 alternative
   options be nullified and that individuals holding options be enjoined

from exercising them at $20-$21/share price range . Also requests '
  reasonable ' atty and accountant fees (S).)
Wall Street Journal, Col. 3, Pg. 14
Wednesday June 23 1976

...nullified and that individuals holding options be enjoined from ,
  exercising them at $20-$21/share price range . Also requests '
  reasonable ' atty and accountant fees (S).)

DESCRIPTORS: PRICES; SHAREHOLDERS; STOCK OPTIONS AND **PURCHASE** PLANS;
  STOCKS AND BONDS; SUITS AND LITIGATION

 8/3,K/5   (Item 1 from file: 583)
DIALOG(R)File 583:Gale Group Globalbase(TM)
(c) 2002 The Gale Group. All rts. reserv.

00200444
COMPUTERS DO NOT INCREASE RISKS OF THE STOCK MARKET
 CANADA - COMPUTERS DO NOT INCREASE RISKS OF THE STOCK MARKET
Canadian Globe & Mail (CGM)   2 April 1986 pB4

... the stock market. Due to the fact that many US investment firms use
computers to **buy** and **sell** **stocks** and shares, stock markets often
experience large swings as **orders** are matched. The software **usually**
 costs between $2.5k and $15k.

~~ Patent Literature:
   Dialog files: 347,348,349,350

File 347:JAPIO Dec 1976-2007/Dec(Updated 080328)
         (c) 2008 JPO & JAPIO
File 348:EUROPEAN PATENTS 1978-2007/ 200822
         (c) 2008 European Patent Office
File 349:PCT FULLTEXT 1979-2008/UB=20080529|UT=20080522
         (c) 2008 WIPO/Thomson
File 350:Derwent WPIX 1963-2008/UD=200834
         (c) 2008 The Thomson Corporation

Set   Items   Description
S1   2741   (SECURITIES OR EQUITIES OR STOCKS)(2N)(TRADE OR TRADES OR -
                 TRADING OR TRANSACTION OR TRANSACTIONS OR TRANSACTING OR PURC-
                 HASE OR PURCHASES OR PURCHASING OR SALE OR BUY OR BUYING OR S-
                 ELL OR SELLING)
S2   2047   NOTIFICATION OR NOTIFI?? OR NOTIFY??? OR TRANSMIT? ? OR TR-
                 ANSMITTING OR REPORT??? OR INFORM??? OR COMMUNICAT???? OR MES-
                 SAG??? OR ALERT??? OR COORDINAT??? OR CO()ORDINAT??? OR REFER?
                 ? OR REFERR???
S3   1953   USER OR USERS OR BROKER OR BROKERS OR TRADER OR TRADERS OR
                 MARKET()(PARTICIPANT OR PARTICIPANTS) OR TRADING()ENTITIES OR
                 COUNTER()PART???
S4   129   (REASONABL? ? OR RATIONAL?? OR RANGE OR USUAL?? OR CUSTOMA-
                 R??? OR FAIR)(4N)(FEE OR FEES OR PRICE? ? OR PRICING OR CHARG-
                 ??? OR COST??? OR RATE OR RATES)(8N)(ORDER OR ORDERS OR REQUE-
                 ST? ? OR REQUISITION? ?)
S5   1297   S2(12N)S3
S6   326   S1(60N)S5
S7   3   S4(60N)S6

∧ 7/3,K/1   (Item 1 from file: 349)
DIALOG(R)File 349:PCT FULLTEXT
(c) 2008 WIPO/Thomson. All rts. reserv.

01197352   **Image available**
CONFIDENTIAL BLOCK TRADING SYSTEM AND METHOD
SYSTEME ET PROCEDE DE VENTE DE TITRES CONFIDENTIELLE
Patent Applicant/Assignee:
 E-XCHANGE ADVANTAGE INC, 51 East 42nd Street, Suite 602, New York, NY

Fulltext Availability:
  Detailed Description
  Claims

English Abstract
  A method for facilitating **trading** of **securities** over a computer
  system comprises electronically receiving a buy or sell **order** for a
  security from a first **user** ; determining that the **order** is **reasonably**
  priced ; **transmitting** to a second **user** an electronic **notification**
  that a **reasonably priced order** for the security is present, but
  without **notifying** the second **user** of the side of the first **user** 's
  order, receiving an order from the second user, wherein the second user's
  order...

Claim
  WHAT IS CLAPAED:

  1 A method for facilitating **trading** of **securities** over a computer
  system, comprising the
  steps of
  electronically receiving a first buy or sell **order** for a security from
  a first **user** ,
  determining that said first **order** is **reasonably priced** ;
   transmitting to a second **user** an electronic **notification** that a
  reasonably priced order for said security is present, but without
  notifying said second **user** of the side of said first
  order,
  receiving a second order from said second user...

  ...predetermined time period has lapsed. I 1. A method as in claim 1,
  further comprising **transmitting** an electronic contra order notification
  to said first **user** after said second order is received, said contra
  order **notification** indicating that a nearly matching contra order is
  active within the system.
  12 A method as in claim I 1, wherein said first **user** receives said
  contra order **notification** immediately after said second order is

received.

13 An electronic system for facilitating securities trading...

...facilitation system;
a financial information exchange network in communication with said trade
facilitation system;
a **communication** network in **communication** with said trade facilitation
system; one or more **user** terminals in **communication** with said
communication network and
said financial information exchange network; and
an execution engine in communication with said...

...claim 13, wherein said analytics server evaluates securities orders
received from said users by comparing **price** aggression of said **orders**
to a block **price** **range** for a security to which said **order** is
directed. - 64 . A system as in claim 14, wherein said block **price**
range is calculated by said analytics server based on recent maiket
prices and volatility of said...

^ 7/3,K/2   (Item 1 from file: 350)
DIALOG(R)File 350:Derwent WPIX
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0014085447 - Drawing available
WPI ACC NO: 2004-268911/200425
Related WPI Acc No: 2002-090121; 2002-499387; 2004-783124; 2007-218399
XRPX Acc No: N2004-212715
 Securities   trading **method through Internet, involves** notifying
presence of reasonably priced order **to another** user **for receiving**
order **, based on analysis result of received order, and performing trade**
execution based on orders
Patent Assignee: E-XCHANGE ADVANTAGE INC (EXCH-N); FEDERSPIEL F J
   (FEDE-I); LOPEZ J E (LOPE-I); WAELBROECK H (WAEL-I); XCHANGE ADVANTAGE
   INC E (XCHA-N); EXCHANGE ADVANTAGE INC (EXCH-N)
Inventor: FEDERSPIEL F; FEDERSPIEL F J; LOPEZ J; LOPEZ J E; WAELBROECK H
Patent Family (5 patents, 107 countries)

Patent Number	Kind	Date	Application Number	Kind	Date	Update	
US 20040059666	A1	20040325	US 2000585049	A	20000601	200425	B
			US 2000750768	A	20001229		
			US 2001870845	A	20010531		
			US 2003603100	A	20030624		
WO 2005003894	A2	20050113	WO 2004US19706	A	20040622	200505	E
EP 1636678	A2	20060322	EP 2004755710	A	20040622	200621	E
			WO 2004US19706	A	20040622		
CN 1853193	A	20061025	CN 200480017566	A	20040622	200715	E
IN 200503515	P4	20070511	WO 2004US19706	A	20040622	200752	E
			IN 2005CN3515	A	20051223		

Priority Applications (no., kind, date): US 2000585049 A 20000601; US
   2000750768 A 20001229; US 2001870845 A 20010531; US 2003603100 A
   20030624

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing Notes
US 20040059666	A1	EN	38	10	C-I-P of application US 2000585049
					C-I-P of application US 2000750768
					C-I-P of application US 2001870845
WO 2005003894	A2	EN			

National Designated States,Original: AE AG AL AM AT AU AZ BA BB BG BR BW
   BY BZ CA CH CN CO CR CU CZ DE DK DM DZ EC EE EG ES FI GB GD GE GH GM HR
   HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW
   MX MZ NA NI NO NZ OM PG PH PL PT RO RU SC SD SE SG SK SL SY TJ TM TN TR
   TT TZ UA UG US UZ VC VN YU ZA ZM ZW
Regional Designated States,Original: AT BE BG BW CH CY CZ DE DK EA EE ES
   FI FR GB GH GM GR HU IE IT KE LS LU MC MW MZ NA NL OA PL PT RO SD SE SI
   SK SL SZ TR TZ UG ZM ZW

EP 1636678   A2 EN   PCT Application WO 2004US19706
                                Based on OPI patent   WO 2005003894
Regional Designated States,Original: AL AT BE BG CH CY CZ DE DK EE ES FI
   FR GB GR HR HU IE IT LI LT LU LV MC MK NL PL PT RO SE SI SK TR
IN 200503515   P4 EN   PCT Application WO 2004US19706

 Securities   trading method through Internet, involves notifying
presence of reasonably priced order to another user for receiving
order , based on analysis result of received order, and performing trade
execution based on orders

Original Publication Data by Authority

Argentina

Assignee name & address:
Original Abstracts:
A method for facilitating trading of securities over a computer system
comprises electronically receiving a buy or sell order for a security
from a first user ; determining that the order is reasonably priced ;
 transmitting to a second user an electronic notification that a
reasonably priced order for the security is present, but without
notifying the second user of the side of the first user 's order;
receiving an order from the second user, wherein the second user's order...

...A method for facilitating trading of securities over a computer
system comprises electronically receiving a buy or sell order for a
security from a first user ; determining that the order is reasonably
priced ; transmitting to a second user an electronic notification
that a reasonably priced order for the security is present, but
without notifying the second user of the side of the first user 's
order; receiving an order from the second user, wherein the second user's
order...

...A method for facilitating trading of securities over a computer
system comprises electronically receiving a buy or sell order for a
security from a first user ; determining that the order is reasonably
priced ; transmitting to a second user an electronic notification
that a reasonably priced order for the security is present, but
without notifying the second user of the side of the first user 's
order; receiving an order from the second user, wherein the second user's
order...
Claims:
What is claimed:1. A method for facilitating trading of
securities over a computer system, comprising the steps of:electronically
receiving a first buy or sell order for a security from a first user
;determining that said first order is reasonably priced ; transmitting
 to a second user an electronic notification that a reasonably
priced order for said security is present, but without notifying said
second user of the side of said first order;receiving a second order from
said second user...

 7/3,K/3   (Item 2 from file: 350)
DIALOG(R)File 350:Derwent WPIX
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0013999564 - Drawing available
WPI ACC NO: 2004-180769/200417
XRPX Acc No: N2004-143699
Electronic calculator for trader, has memory containing trading price
information and processor dividing trading prices into previously entered
cash, margin, or buying power to calculate resultant trade order size
Patent Assignee: BJORNSON J E (BJOR-I); BJORNSON K H (BJOR-I)
Inventor: BJORNSON J E; BJORNSON K H
Patent Family (3 patents, 103 countries)
Patent   Application
Number   Kind Date   Number   Kind Date   Update
WO 2004015551   A2 20040219 WO 2003US25467   A 20030812 200417 B

```
US 20040103127    A1    20040527    US 2002402559     P    20020812    200435   E
                                     US 2003640827     A    20030812
AU 2003259836     A1    20040225    AU 2003259836      A    20030812    200456   E
```

Priority Applications (no., kind, date): US 2002402559 P 20020812; US
    2003640827 A 20030812

Patent Details
```
Number          Kind  Lan   Pg   Dwg  Filing Notes
WO 2004015551   A2    EN    49    2
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National Designated States,Original: AE AG AL AM AT AU AZ BA BB BG BR BY
    BZ CA CH CN CO CR CU CZ DE DK DM DZ EC EE ES FI GB GD GE GH GM HR HU ID
    IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ
    NI NO NZ OM PG PH PL PT RO RU SC SD SE SG SK SL SY TJ TM TN TR TT TZ UA
    UG US UZ VC VN YU ZA ZM ZW
Regional Designated States,Original: AT BE BG CH CY CZ DE DK EA EE ES FI
    FR GB GH GM GR HU IE IT KE LS LU MC MW MZ NL OA PT RO SD SE SI SK SL SZ
    TR TZ UG ZM ZW
```
US 20040103127   A1    EN              Related to Provisional  US 2002402559
AU 2003259836    A1    EN              Based on OPI patent    WO 2004015551
```

Original Publication Data by Authority

Argentina

Assignee name & address:
Original Abstracts:
...e.g. pocket, hand-held, and desktop) and will be for "traders of all
levels... **trading   securities** of all types". These innovative hand-held
calculators   allow   traders worldwide to be fast, proactive, prepared,
and **informed** ... **enabling** them to increase productivity and profits.
Trade **order** sizes can be determined for **stocks** , options, **bonds** ,
mutual funds, futures, indexes, currency, commodities, or any other
security in the world that is...

...cash amount(s), premium, and multiplier. Price/or premium and buying
power are entered by **the** user, and they can then quickly scroll up/down
through **order** sizes) or number of contracts) by **price** /or **premium** in a
 range , with a variety **of** decimal/or fractional increments **on** "speed
keys". The hand-held calculator determines variables that are used during
active trading (e...
Claims: